

# On polynomial mappings from the plane to the plane

Iwona Krzyżanowska      Zbigniew Szafraniec

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## Abstract

Let  $f : \mathbb{R}^2 \longrightarrow \mathbb{R}^2$  be a generic polynomial mapping. There are constructed quadratic forms whose signatures determine the number of positive and negative cusps of  $f$ .

## 1 Introduction

Mappings between 2-manifolds are a natural object of study in the theory of singularities. Let  $M, N$  be smooth surfaces, and let  $f : M \rightarrow N$  be smooth. Whitney [14] proved that critical points of a generic  $f$  are folds and cusps.

If  $M, N$  are oriented and  $p$  is a cusp point, we define  $\mu(p)$  to be the local topological degree of the germ  $f : (M, p) \rightarrow (N, f(p))$ .

There are several results concerning relations between the topology of  $M, N$  and the topology of the critical locus of  $f$  (see [7], [13], [14]). In particular, there are results concerning  $\sum_p \mu(p)$ , where  $p$  runs through the set of cusp points (see [3], [11]). Singularities of map germs of the plane into the plane were studied in [3], [4], [8], [10]. For a recent account of the subject, and other related results, we refer the reader to [2], [12].

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Iwona Krzyżanowska and Zbigniew Szafraniec  
University of Gdańsk, Institute of Mathematics  
80-952 Gdańsk, Wita Stwosza 57, Poland  
Email: Iwona.Krzyzanowska@mat.ug.edu.pl  
Email: Zbigniew.Szafraniec@mat.ug.edu.pl

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In this paper we investigate the number of cusps of one-generic polynomial mappings. Let  $f = (f_1, f_2) : \mathbb{R}^2 \rightarrow \mathbb{R}^2$  be a polynomial mapping. Denote  $J = \frac{\partial(f_1, f_2)}{\partial(x, y)}$ ,  $F_i = \frac{\partial(J, f_i)}{\partial(x, y)}$ ,  $i = 1, 2$ . Let  $I'$  be the ideal in  $\mathbb{R}[x, y]$  generated by  $J$ ,  $F_1$ ,  $F_2$ , and  $\frac{\partial(J, F_i)}{\partial(x, y)}$ ,  $i = 1, 2$ . We shall show that  $f$  is one-generic if  $I' = \mathbb{R}[x, y]$  (see Proposition 2).

Let  $I$  be the ideal in  $\mathbb{R}[x, y]$  generated by  $J$ ,  $F_1$ ,  $F_2$ , and let  $\mathcal{A} = \mathbb{R}[x, y]/I$ . (In the local case, ideals defined by the same three generators were introduced and investigated in [3], [4].) Let  $u : \mathbb{R}^2 \rightarrow \mathbb{R}$  be a polynomial. Denote  $U = \{p \in \mathbb{R}^2 \mid u(p) > 0\}$ .

Assume that  $\dim_{\mathbb{R}} \mathcal{A} < \infty$ . In Section 4 we construct four quadratic forms  $\Theta_1, \dots, \Theta_4$  on  $\mathcal{A}$ . We shall prove that signatures of these forms determine the number of positive and negative cusps in  $\mathbb{R}^2$  and in  $U$  (Theorems 3, 4). These signatures may be computed using computer algebra systems. In Section 5 we present examples which were calculated with the help of SINGULAR [6].

## 2 Mappings of the plane into the plane

In this section we present useful facts about mappings of the plane into the plane. In particular we show that definitions of fold points and cusp points introduced in [5] and in [14] coincide (see Theorem 1). In exposition and notation, we follow closely [5].

Let  $M, N$  be smooth manifolds, and  $p \in M$ . For smooth mappings  $f, g : M \rightarrow N$  with  $f(p) = g(p) = q$ , we say that  $f$  has first order contact with  $g$  at  $p$  if  $Df(p) = Dg(p)$  as mapping of  $T_p M \rightarrow T_q N$ . By  $J^1(M, N)_{(p, q)}$  we shall denote the set of equivalence classes of mappings with  $f(p) = q$  having the same first order contact at  $p$ . Let

$$J^1(M, N) = \bigcup_{(p, q) \in M \times N} J^1(M, N)_{(p, q)}.$$

An element  $\sigma \in J^1(M, N)$  is called a 1-jet from  $M$  to  $N$ .

Denote  $\text{corank } \sigma = \min(\dim M, \dim N) - \text{rank } Df(p)$ . Put  $S_r = \{\sigma \in J^1(M, N) \mid \text{corank } \sigma = r\}$ . According to [5, Theorem 5.4],  $S_r$  is a submanifold of  $J^1(M, N)$  with  $\text{codim } S_r = r(|\dim M - \dim N| + r)$ . Given a smooth mapping  $f : M \rightarrow N$  there is a canonically defined mapping  $j^1 f : M \rightarrow J^1(M, N)$ . Let  $S_r(f) = \{p \in M \mid \text{corank } Df(p) = r\} = (j^1 f)^{-1}(S_r)$ .

**Definition 1** *We say that  $f : M \rightarrow N$  is one-generic if  $j^1 f$  intersects  $S_r$  transversely (denoted by  $j^1 f \pitchfork S_r$ ) for all  $r$ .*

According to [5, Theorem 4.4], if  $j^1 f \pitchfork S_r$  then either  $S_r(f) = \emptyset$  or  $S_r(f)$  is a submanifold of  $M$ , with  $\text{codim } S_r(f) = \text{codim } S_r$ .

Assume that  $M = N = \mathbb{R}^2$ . In that case  $J^1(\mathbb{R}^2, \mathbb{R}^2) \simeq \mathbb{R}^2 \times \mathbb{R}^2 \times M(2, 2)$ , where  $M(2, 2) = \{[a_{ij}] \mid 1 \leq i, j \leq 2\}$  is the set of  $2 \times 2$ -matrices.

Let  $\phi = a_{11}a_{22} - a_{12}a_{21} : J^1(\mathbb{R}^2, \mathbb{R}^2) \longrightarrow \mathbb{R}$ . It is easy to see that  $S_0 = \{\phi \neq 0\}$ ,  $S_1 = \{\phi = 0, d\phi \neq 0\}$  and  $S_2 = \{\phi = 0, d\phi = 0\}$ . In particular  $\phi$  is locally a submersion at points of  $S_1$ . Moreover  $\phi \circ j^1 f = J$ , where  $J$  is the determinant of the Jacobian matrix  $Df$ , and  $J^{-1}(0) = S_1(f) \cup S_2(f)$ .

**Lemma 1** *A mapping  $f : \mathbb{R}^2 \longrightarrow \mathbb{R}^2$  is one-generic if and only if  $dJ(p) \neq 0$  for all  $p \in J^{-1}(0)$ . If that is the case then  $S_1(f) = J^{-1}(0)$ .*

*Proof.* As  $\text{codim } S_2 = 4$ , then  $j^1 f \pitchfork S_2$  if and only if  $S_2(f) = \emptyset$ , i.e.  $Df(p) \neq 0$  for  $p \in J^{-1}(0)$ . By [5, Lemma 4.3],  $j^1 f \pitchfork S_1$  if and only if  $\phi \circ j^1 f = J$  is locally a submersion at every  $p \in S_1(f)$ , i.e.  $dJ(p) \neq 0$  for  $p \in S_1(f)$ .

If  $f$  is one-generic, then  $S_2(f) = \emptyset$ . Hence  $J^{-1}(0) = S_1(f)$  and  $dJ(p) \neq 0$  for  $p \in J^{-1}(0)$ .

If  $dJ(p) \neq 0$  for all  $p \in J^{-1}(0)$ , then  $Df(p) \neq 0$  for all  $p \in \mathbb{R}^2$ . Hence  $S_2(f) = \emptyset$  and  $j^1 f \pitchfork S_1$ .  $\square$

Take a one-generic mapping  $f = (f_1, f_2) : \mathbb{R}^2 \longrightarrow \mathbb{R}^2$ . For  $p \in S_1(f)$  one of the following two conditions can occur.

$$T_p S_1(f) + \ker Df(p) = \mathbb{R}^2, \quad (1)$$

$$T_p S_1(f) = \ker Df(p). \quad (2)$$

If  $p \in S_1(f)$  satisfies (1), then  $p$  is called a fold point.

Put  $\mathbf{0} = (0, 0) \in \mathbb{R}^2$ . Notice that the space  $T_p S_1(f)$  is spanned by a vector  $(-\frac{\partial J}{\partial y}(p), \frac{\partial J}{\partial x}(p))$ , so we get

**Lemma 2** *A point  $p \in \mathbb{R}^2$  is a fold point if and only if  $J(p) = 0$  and*

$$Df(p) \cdot \begin{bmatrix} -\frac{\partial J}{\partial y}(p) \\ \frac{\partial J}{\partial x}(p) \end{bmatrix} \neq \mathbf{0},$$

*i.e.  $p$  is a regular point of  $f|_{S_1(f)}$ .*

*So  $p \in S_1(f)$  satisfies condition (2) if and only if  $J(p) = 0$  and*

$$Df(p) \cdot \begin{bmatrix} -\frac{\partial J}{\partial y}(p) \\ \frac{\partial J}{\partial x}(p) \end{bmatrix} = \mathbf{0}.$$

Assume that condition (2) holds at  $p \in S_1(f)$ . Take a smooth function  $k$  on a neighbourhood  $U$  of  $p$  such that  $k \equiv 0$  on  $S_1(f) \cap U$  and  $dk(p) \neq 0$ . (By Lemma 1,  $J$  satisfies both these conditions.) Let  $\xi$  be a nonvanishing vector field along  $S_1(f)$  such that  $\xi$  is in the kernel of  $Df$  at each point of  $S_1(f) \cap U$ . Then  $dk(\xi)$  is a function on  $S_1(f)$  having a zero at  $p$ . The order of this zero does not depend on the choice of  $k$  and  $\xi$  (see [5, p.146]), so it equals the order of  $dJ(\xi)$  at  $p$ .

**Definition 2** We say that  $p$  is a simple cusp if  $p$  is a simple zero of  $dJ(\xi)$ .

Let  $F = (F_1, F_2) : \mathbb{R}^2 \longrightarrow \mathbb{R}^2$  be given by

$$F = \begin{bmatrix} F_1 \\ F_2 \end{bmatrix} = [Df] \cdot \begin{bmatrix} -\frac{\partial J}{\partial y} \\ \frac{\partial J}{\partial x} \end{bmatrix}.$$

So

$$\begin{aligned} F_1 &= -\frac{\partial f_1}{\partial x} \frac{\partial J}{\partial y} + \frac{\partial f_1}{\partial y} \frac{\partial J}{\partial x} = \frac{\partial(J, f_1)}{\partial(x, y)}, \\ F_2 &= -\frac{\partial f_2}{\partial x} \frac{\partial J}{\partial y} + \frac{\partial f_2}{\partial y} \frac{\partial J}{\partial x} = \frac{\partial(J, f_2)}{\partial(x, y)}. \end{aligned}$$

According to Lemma 2,  $p \in S_1(f)$  is a fold point if and only if  $F(p) \neq \mathbf{0}$ .

**Lemma 3** A point  $p \in S_1(f)$  is a simple cusp if and only if  $F(p) = \mathbf{0}$  and

$$[DF(p)] \cdot \begin{bmatrix} -\frac{\partial J}{\partial y}(p) \\ \frac{\partial J}{\partial x}(p) \end{bmatrix} \neq \mathbf{0},$$

i.e. if  $J(p) = 0$ ,  $F_1(p) = 0$ ,  $F_2(p) = 0$ , and either  $\partial(J, F_1)/\partial(x, y)(p) \neq 0$  or  $\partial(J, F_2)/\partial(x, y)(p) \neq 0$ .

*Proof.* Put  $\xi_i = \left( \frac{\partial f_i}{\partial y}, -\frac{\partial f_i}{\partial x} \right)$  on  $S_1(f)$ . We have  $dJ(\xi_i) = F_i$ . Then both  $dJ(\xi_i)(p) = 0$  if and only if  $F(p) = \mathbf{0}$ . If that is the case then  $p$  is a simple zero of at least one  $dJ(\xi_i)$  if and only if  $p$  is a regular point of at least one  $F_i|_{S_1(f)}$ , i.e.

$$\left( \frac{\partial J}{\partial x} \frac{\partial F_i}{\partial y} - \frac{\partial J}{\partial y} \frac{\partial F_i}{\partial x} \right)(p) \neq 0.$$

The last condition holds if and only if

$$[DF(p)] \cdot \begin{bmatrix} -\frac{\partial J}{\partial y}(p) \\ \frac{\partial J}{\partial x}(p) \end{bmatrix} \neq \mathbf{0}.$$

Of course the fields  $\xi_1, \xi_2$  are linearly dependent along  $S_1(f)$ , and at least one does not vanish at  $p$ . Without loss of generality we may assume that  $\xi_1(p) \neq 0$ , so that  $\xi_2 = s \cdot \xi_1$ , where  $s$  is a smooth function on  $S_1(f)$ . In particular,  $dJ(\xi_2) = s \cdot dJ(\xi_1)$ . A short computation shows that

$$Df \cdot \xi_1 \equiv 0 \text{ on } S_1(f),$$

so that  $\xi_1$  is in the kernel of  $Df$  along  $S_1(f)$ . Of course, both  $dJ(\xi_i)(p) = 0$  if and only if  $dJ(\xi_1)(p) = 0$ , and in this case  $p$  is a simple zero of at least one  $dJ(\xi_i)$  if and only if  $p$  is a simple zero of  $dJ(\xi_1)$ , i.e.  $p$  is a simple cusp.  $\square$

Recall that  $J^{-1}(0) = S_1(f)$  is a smooth 1-manifold, and  $dJ \neq 0$  on  $S_1(f)$ . Take  $p \in J^{-1}(0)$ . We can find a smooth parametrization  $\psi : (\mathbb{R}, 0) \rightarrow (J^{-1}(0), p)$ . There exists a smooth nowhere zero function  $\rho$  such that

$$\frac{d\psi}{dt}(t) = \rho(t) \left( -\frac{\partial J}{\partial y}(\psi(t)), \frac{\partial J}{\partial x}(\psi(t)) \right).$$

It is easy to check that

$$\begin{aligned} \frac{d(f \circ \psi)}{dt}(t) &= \rho(t)F(\psi(t)), \\ \frac{d^2(f \circ \psi)}{dt^2}(t) &= \rho'(t)F(\psi(t)) + \rho^2(t)[DF(\psi(t))] \begin{bmatrix} -\frac{\partial J}{\partial y}(\psi(t)) \\ \frac{\partial J}{\partial x}(\psi(t)) \end{bmatrix}. \end{aligned}$$

So we get

**Theorem 1** *Suppose that  $f : \mathbb{R}^2 \rightarrow \mathbb{R}^2$  is one-generic. Then,*

(i) *a point  $p \in \mathbb{R}^2$  is a fold if and only if  $J(p) = 0$  and*

$$\frac{d(f \circ \psi)}{dt}(0) \neq \mathbf{0},$$

(ii) *a point  $p \in \mathbb{R}^2$  is a simple cusp if and only if  $J(p) = 0$ ,*

$$\frac{d(f \circ \psi)}{dt}(0) = \mathbf{0} \quad \text{and} \quad \frac{d^2(f \circ \psi)}{dt^2}(0) \neq \mathbf{0},$$

*i.e. if  $p$  is a non-degenerate critical point of  $f|_{S_1(f)}$ .*

**Theorem 2** ([14, Theorem 16A], [5, Theorem 2.4]) *A point  $p$  is a simple cusp if and only if the germ  $f : (\mathbb{R}^2, p) \rightarrow (\mathbb{R}^2, f(p))$  is differentiably equivalent to the germ  $(u, v) \mapsto (u, uv + v^3)$ .*

Denote by  $\mu(p)$  the local topological degree of the germ  $f : (\mathbb{R}^2, p) \rightarrow (\mathbb{R}^2, f(p))$ . Hence we have

**Corollary 1** *If  $p$  is a cusp point of  $f$  then  $\mu(p) = \pm 1$ .*

### 3 Degree at a cusp point

In this section we shall show how to interpret the sign of  $\det DF(p)$  at a cusp point  $p$ .

**Lemma 4** *A translation in the domain does not change the determinant of  $DF(p)$ .*

*Proof.* Take  $p = (x_0, y_0)$  and the translation  $T(x, y) = (x + x_0, y + y_0)$ . The determinant of the Jacobian matrix associated with  $g = f \circ T$  equals  $J \circ T$ . With  $g$  we can also associate a mapping  $G$  the same way as in Section 1, i.e.

$$G = [Dg] \cdot \begin{bmatrix} -\frac{\partial(J \circ T)}{\partial y} \\ \frac{\partial(J \circ T)}{\partial x} \end{bmatrix}.$$

Now it is easy to see that  $G = F \circ T$ , so  $\det DG(\mathbf{0}) = \det DF(p)$ .  $\square$

A translation in the target obviously does not change  $\det DF(p)$ . From now on we shall assume that  $f : \mathbb{R}^2 \rightarrow \mathbb{R}^2$  has a cusp point at the origin and  $f(\mathbf{0}) = \mathbf{0}$ .

**Lemma 5** *An orthogonal change of coordinates in the target does not change the determinant of  $DF(\mathbf{0})$ .*

*Proof.* Take an orthogonal isomorphism  $L(x, y) = (ax - by, bx + ay)$ , where  $a^2 + b^2 = 1$ . Then  $\mathbf{0}$  is a cusp point of  $L \circ f$ , and the determinant of the Jacobian matrix associated with this mapping equals  $(a^2 + b^2)J = J$ . With  $g = L \circ f$  we can also associate

$$\begin{aligned} G = \begin{bmatrix} G_1 \\ G_2 \end{bmatrix} &= D(L \circ f) \cdot \begin{bmatrix} -\frac{\partial J}{\partial y} \\ \frac{\partial J}{\partial x} \end{bmatrix} = \begin{bmatrix} a & -b \\ b & a \end{bmatrix} \cdot [Df] \cdot \begin{bmatrix} -\frac{\partial J}{\partial y} \\ \frac{\partial J}{\partial x} \end{bmatrix} \\ &= \begin{bmatrix} a & -b \\ b & a \end{bmatrix} \cdot \begin{bmatrix} F_1 \\ F_2 \end{bmatrix} = \begin{bmatrix} a & -b \\ b & a \end{bmatrix} \cdot F = L \circ F. \end{aligned}$$

Now it is easy to see that  $\det DG(\mathbf{0}) = \det DF(\mathbf{0})$ .  $\square$

**Lemma 6** *An orthogonal change of coordinates in the domain does not change the determinant of  $DF(\mathbf{0})$ .*

*Proof.* Take an orthogonal isomorphism  $R(x, y) = (cx - dy, dx + cy)$ , where  $c^2 + d^2 = 1$ . Then  $\mathbf{0}$  is a cusp point of  $f \circ R$  and the determinant of the Jacobian matrix associated with this mapping equals  $J \circ R$ . With  $g = f \circ R$  we can also associate

$$\begin{aligned} G = \begin{bmatrix} G_1 \\ G_2 \end{bmatrix} &= D(f \circ R) \cdot \begin{bmatrix} -\frac{\partial(J \circ R)}{\partial y} \\ \frac{\partial(J \circ R)}{\partial x} \end{bmatrix} \\ &= [Df \circ R] \cdot \begin{bmatrix} c & -d \\ d & c \end{bmatrix} \cdot \begin{bmatrix} c & d \\ -d & c \end{bmatrix} \cdot \begin{bmatrix} -\frac{\partial J}{\partial y} \circ R \\ \frac{\partial J}{\partial x} \circ R \end{bmatrix} \\ &= \begin{bmatrix} F_1 \circ R \\ F_2 \circ R \end{bmatrix} = F \circ R \end{aligned}$$

Now it is easy to see that  $\det DG(\mathbf{0}) = (c^2 + d^2) \det DF(\mathbf{0}) = \det DF(\mathbf{0})$ .  $\square$

**Lemma 7** Assume that  $\text{rank } Df(\mathbf{0}) = 1$ ,  $dJ(\mathbf{0}) \neq 0$  and  $F(\mathbf{0}) = 0$ . Then after an orthogonal change of coordinates in the domain and in the target we may have

$$\begin{aligned}\frac{\partial f_1}{\partial x}(\mathbf{0}) &= \frac{\partial f_2}{\partial x}(\mathbf{0}) = \frac{\partial f_2}{\partial y}(\mathbf{0}) = 0, \quad \frac{\partial f_1}{\partial y}(\mathbf{0}) \neq 0, \\ \frac{\partial J}{\partial x}(\mathbf{0}) &= 0, \quad \frac{\partial J}{\partial y}(\mathbf{0}) \neq 0.\end{aligned}$$

*Proof.* There exist  $a, b, c, d \in \mathbb{R}$  such that  $a^2 + b^2 = 1$ ,  $c^2 + d^2 = 1$  and

$$b \left( \frac{\partial f_1}{\partial x}, \frac{\partial f_1}{\partial y} \right) + a \left( \frac{\partial f_2}{\partial x}, \frac{\partial f_2}{\partial y} \right) = \mathbf{0}, \quad c \frac{\partial J}{\partial x} + d \frac{\partial J}{\partial y} = 0$$

at the origin. Let us consider two orthogonal isomorphisms:  $L(x, y) = (ax - by, bx + ay)$  and  $R(x, y) = (cx - dy, dx + cy)$ . Put  $g = (g_1, g_2) = L \circ f \circ R$ . Then  $\text{rank } Dg(\mathbf{0}) = \text{rank } Df(\mathbf{0}) = 1$  and

$$\frac{\partial g_2}{\partial x}(\mathbf{0}) = 0, \quad \frac{\partial g_2}{\partial y}(\mathbf{0}) = 0. \quad (3)$$

Let  $J'$  denote the determinant of the Jacobian matrix  $Dg$ . Of course  $J' = (a^2 + b^2)(c^2 + d^2)J \circ R = J \circ R$ , so that  $dJ'(\mathbf{0}) \neq 0$ . One may check that

$$\frac{\partial J'}{\partial x}(\mathbf{0}) = 0, \quad \text{so } \frac{\partial J'}{\partial y}(\mathbf{0}) \neq 0. \quad (4)$$

Then  $(J')^{-1}(0)$  is locally a smooth 1-manifold near  $\mathbf{0}$ , and there is  $\varphi : (\mathbb{R}, 0) \rightarrow (\mathbb{R}, 0)$  such that  $J'(t, \varphi(t)) \equiv 0$ . Hence  $0 \equiv \frac{d}{dt} J'(t, \varphi(t)) = \frac{\partial J'}{\partial x}(t, \varphi(t)) + \frac{\partial J'}{\partial y}(t, \varphi(t))\varphi'(t)$ . By (4),  $\varphi'(0) = 0$ . Because  $F(\mathbf{0}) = 0$ , then  $\mathbf{0}$  is a critical point of both  $f|_{S_1(f)}$  and  $g|_{S_1(g)}$ . So  $g(t, \varphi(t))$  has a critical point at 0. By (3)

$$\mathbf{0} = \frac{d}{dt} \begin{bmatrix} g_1(t, \varphi(t)) \\ g_2(t, \varphi(t)) \end{bmatrix} \Big|_{t=0} = \begin{bmatrix} \frac{\partial g_1}{\partial x}(\mathbf{0}) + \frac{\partial g_1}{\partial y}(\mathbf{0})\varphi'(0) \\ \frac{\partial g_2}{\partial x}(\mathbf{0}) + \frac{\partial g_2}{\partial y}(\mathbf{0})\varphi'(0) \end{bmatrix} = \begin{bmatrix} \frac{\partial g_1}{\partial x}(\mathbf{0}) \\ 0 \end{bmatrix},$$

and so  $\frac{\partial g_1}{\partial x}(\mathbf{0}) = 0$ . Because  $\text{rank } Dg(\mathbf{0}) = 1$ , so  $\frac{\partial g_1}{\partial y}(\mathbf{0}) \neq 0$ .  $\square$

Assume that  $\text{rank } Df(\mathbf{0}) = 1$ ,  $dJ(\mathbf{0}) \neq 0$  and  $F(\mathbf{0}) = \mathbf{0}$ . Choose coordinates satisfying Lemma 7. If that is the case then  $\frac{\partial J}{\partial y}(\mathbf{0}) = -\frac{\partial f_1}{\partial y}(\mathbf{0})\frac{\partial^2 f_2}{\partial x \partial y}(\mathbf{0})$ , hence

$$\frac{\partial^2 f_2}{\partial x \partial y}(\mathbf{0}) \neq 0. \quad (5)$$

Moreover  $0 = \frac{\partial J}{\partial x}(\mathbf{0}) = -\frac{\partial f_1}{\partial y}(\mathbf{0})\frac{\partial^2 f_2}{\partial x^2}(\mathbf{0})$ , so that

$$\frac{\partial^2 f_2}{\partial x^2}(\mathbf{0}) = 0. \quad (6)$$

As above there is smooth  $\varphi : (\mathbb{R}, 0) \longrightarrow (\mathbb{R}, 0)$  such that  $J(t, \varphi(t)) \equiv 0$  and  $\varphi'(0) = 0$ . Then

$$0 = \frac{d^2}{dt^2} J(t, \varphi(t))|_{t=0} = \frac{\partial^2 J}{\partial x^2}(\mathbf{0}) + \frac{\partial J}{\partial y}(\mathbf{0})\varphi''(0),$$

and  $\varphi''(0) = -\frac{\partial^2 J}{\partial x^2}(\mathbf{0})/\frac{\partial J}{\partial y}(\mathbf{0})$ . As  $\mathbf{0}$  is a cusp point then, according to Theorem 1,

$$\frac{d^2}{dt^2} \begin{bmatrix} f_1(t, \varphi(t)) \\ f_2(t, \varphi(t)) \end{bmatrix} \Big|_{t=0} \neq \mathbf{0}.$$

It is easy to see that  $\frac{d^2}{dt^2} f_2(t, \varphi(t))|_{t=0} = 0$ , so

$$\begin{aligned} 0 \neq \frac{d^2}{dt^2} f_1(t, \varphi(t))|_{t=0} &= \frac{\partial^2 f_1}{\partial x^2}(\mathbf{0}) + \frac{\partial f_1}{\partial y}(\mathbf{0})\varphi''(0) = \\ &= \frac{\partial^2 f_1}{\partial x^2}(\mathbf{0}) - \left( \frac{\partial f_1}{\partial y}(\mathbf{0}) \frac{\partial^2 J}{\partial x^2}(\mathbf{0}) \right) / \frac{\partial J}{\partial y}(\mathbf{0}). \end{aligned} \quad (7)$$

Two non-zero vectors

$$\begin{aligned} v_1 &= \frac{d^2}{dt^2} \begin{bmatrix} f_1(t, \varphi(t)) \\ f_2(t, \varphi(t)) \end{bmatrix} \Big|_{t=0} = \begin{bmatrix} \frac{\partial^2 f_1}{\partial x^2}(\mathbf{0}) - \frac{\partial f_1}{\partial y}(\mathbf{0}) \frac{\partial^2 J}{\partial x^2}(\mathbf{0}) / \frac{\partial J}{\partial y}(\mathbf{0}) \\ 0 \end{bmatrix}, \\ v_2 &= Df(\mathbf{0}) \cdot \begin{bmatrix} \frac{\partial J}{\partial x}(\mathbf{0}) \\ \frac{\partial J}{\partial y}(\mathbf{0}) \end{bmatrix} = \begin{bmatrix} \frac{\partial f_1}{\partial y}(\mathbf{0}) \frac{\partial J}{\partial y}(\mathbf{0}) \\ 0 \end{bmatrix} \end{aligned}$$

point in the same direction if and only if

$$\frac{\partial f_1}{\partial y}(\mathbf{0}) \left( \frac{\partial^2 f_1}{\partial x^2}(\mathbf{0}) \frac{\partial J}{\partial y}(\mathbf{0}) - \frac{\partial f_1}{\partial y}(\mathbf{0}) \frac{\partial^2 J}{\partial x^2}(\mathbf{0}) \right) > 0.$$

**Lemma 8** *We have*

- (i)  $\det DF(\mathbf{0}) \neq 0$ ,
- (ii) *vectors  $v_1$  and  $v_2$  point in the same (resp. opposite) direction if and only if  $\det DF(\mathbf{0}) < 0$  (resp.  $\det DF(\mathbf{0}) > 0$ ).*

*Proof.* We have

$$F = (F_1, F_2) = \left( -\frac{\partial f_1}{\partial x} \frac{\partial J}{\partial y} + \frac{\partial f_1}{\partial y} \frac{\partial J}{\partial x}, -\frac{\partial f_2}{\partial x} \frac{\partial J}{\partial y} + \frac{\partial f_2}{\partial y} \frac{\partial J}{\partial x} \right).$$

By (5),(6),(7),

$$\det DF(\mathbf{0}) = \det \begin{bmatrix} -\frac{\partial^2 f_1}{\partial x^2}(\mathbf{0}) \frac{\partial J}{\partial y}(\mathbf{0}) + \frac{\partial f_1}{\partial y}(\mathbf{0}) \frac{\partial^2 J}{\partial x^2}(\mathbf{0}) & \frac{\partial F_1}{\partial y}(\mathbf{0}) \\ 0 & -\frac{\partial^2 f_2}{\partial x \partial y}(\mathbf{0}) \frac{\partial J}{\partial y}(\mathbf{0}) \end{bmatrix}$$



$$\begin{aligned}
&= \frac{\partial J}{\partial y}(\mathbf{0}) \frac{\partial^2 f_2}{\partial x \partial y}(\mathbf{0}) \left( \frac{\partial^2 f_1}{\partial x^2}(\mathbf{0}) \frac{\partial J}{\partial y}(\mathbf{0}) - \frac{\partial f_1}{\partial y}(\mathbf{0}) \frac{\partial^2 J}{\partial x^2}(\mathbf{0}) \right) \neq 0, \\
\operatorname{sgn} \det DF(\mathbf{0}) &= \operatorname{sgn} \left[ -\frac{\partial f_1}{\partial y}(\mathbf{0}) \left( \frac{\partial^2 f_2}{\partial x \partial y}(\mathbf{0}) \right)^2 \left( \frac{\partial^2 f_1}{\partial x^2}(\mathbf{0}) \frac{\partial J}{\partial y}(\mathbf{0}) - \frac{\partial f_1}{\partial y}(\mathbf{0}) \frac{\partial^2 J}{\partial x^2}(\mathbf{0}) \right) \right] \\
&= (-1) \operatorname{sgn} \left[ \frac{\partial f_1}{\partial y}(\mathbf{0}) \left( \frac{\partial^2 f_1}{\partial x^2}(\mathbf{0}) \frac{\partial J}{\partial y}(\mathbf{0}) - \frac{\partial f_1}{\partial y}(\mathbf{0}) \frac{\partial^2 J}{\partial x^2}(\mathbf{0}) \right) \right].
\end{aligned}$$

□

**Lemma 9** *The local topological degree of the germ  $f : (\mathbb{R}^2, \mathbf{0}) \rightarrow (\mathbb{R}^2, \mathbf{0})$  equals  $-1$  (resp.  $+1$ ) if vectors  $v_1, v_2$  point in the same (resp. opposite) direction.*

*Proof.* By Theorem 2 one may conclude that there exists open neighbourhoods  $U, V$  of the origin in the plane such that

1.  $f(U) = V$ ,
2. the set of regular values of  $f : U \rightarrow V$ , i.e.  $V \setminus f(S_1(f) \cap U)$ , consists of two connected components  $V_1, V_2$  such that  $q \in V_1$  if and only if  $f^{-1}(q) \cap U$  has one element, and  $q \in V_2$  if and only if  $f^{-1}(q) \cap U$  has three element,
3. there exists a unit vector  $v$  such that for any sequence  $(q_n) \subset \bar{V}_2$  with  $\lim q_n = \mathbf{0}$  and  $q_n \neq \mathbf{0}$  we have

$$\lim \frac{q_n}{|q_n|} = v .$$

Hence, if  $q$  lies close to the origin and the scalar product  $\langle q, v \rangle$  is negative then  $q \in V_1$ .

The curve  $(t, \varphi(t))$  is a smooth parametrization of  $S_1(f)$  near the origin. There is  $\epsilon > 0$  such that  $\gamma(t) = f(t, \varphi(t)) \in \bar{V}_2 \setminus \{\mathbf{0}\}$  for  $0 < |t| < \epsilon$ . By Theorem 1,

$$\frac{d\gamma}{dt}(0) = \mathbf{0} , \quad v_1 = \frac{d^2\gamma}{dt^2}(0) \neq \mathbf{0} .$$

There exists smooth  $\alpha : \mathbb{R}, 0 \rightarrow \mathbb{R}^2$  such that  $\alpha(0) = v_1/2$  and  $\gamma(t) = t^2 \cdot \alpha(t)$ . Then

$$v = \lim \frac{\gamma(t)}{|\gamma(t)|} = \lim \frac{\alpha(t)}{|\alpha(t)|} = \frac{v_1}{|v_1|},$$

so that vectors  $v, v_1$  point in the same direction.

Let  $\eta(t) = f(\frac{\partial J}{\partial x}(\mathbf{0})t, \frac{\partial J}{\partial y}(\mathbf{0})t)$ . Then  $\eta(0) = \mathbf{0}$ , and

$$\frac{d\eta}{dt}(0) = Df(\mathbf{0}) \cdot \begin{bmatrix} \frac{\partial J}{\partial x}(\mathbf{0}) \\ \frac{\partial J}{\partial y}(\mathbf{0}) \end{bmatrix} = v_2 \neq \mathbf{0} .$$

There exists a smooth function  $\beta : \mathbb{R}, 0 \rightarrow \mathbb{R}^2$  such that  $\beta(0) = v_2$  and  $\eta(t) = t \cdot \beta(t)$ .

If vectors  $v, v_2$  point in the same direction then the scalar product  $\langle \eta(t), v \rangle = t \langle \beta(t), v \rangle$  is negative for all  $t < 0$  sufficiently close to the origin. Then  $\eta(t) \in V_1$ , so that  $\eta(t)$  is a regular value and  $f^{-1}(\eta(t)) \cap U = (\frac{\partial J}{\partial x}(\mathbf{0})t, \frac{\partial J}{\partial y}(\mathbf{0})t)$ .

In this case  $J(\frac{\partial J}{\partial x}(\mathbf{0})t, \frac{\partial J}{\partial y}(\mathbf{0})t)$  is negative, hence the local topological degree of the mapping  $f : (\mathbb{R}^2, \mathbf{0}) \rightarrow (\mathbb{R}^2, \mathbf{0})$  equals  $-1$ .

If vectors  $v, v_2$  point in the opposite direction then the scalar product  $\langle \eta(t), v \rangle = t \langle \beta(t), v \rangle$  is negative for all  $t > 0$  sufficiently close to the origin. As before,  $f^{-1}(\eta(t)) \cap U = (\frac{\partial J}{\partial x}(\mathbf{0})t, \frac{\partial J}{\partial y}(\mathbf{0})t)$ .

In that case  $J(\frac{\partial J}{\partial x}(\mathbf{0})t, \frac{\partial J}{\partial y}(\mathbf{0})t)$  is positive, hence the local topological degree of the mapping  $f : (\mathbb{R}^2, \mathbf{0}) \rightarrow (\mathbb{R}^2, \mathbf{0})$  equals  $+1$ .  $\square$

**Propositon 1** *Assume that  $p$  is a cusp point of a mapping  $f : \mathbb{R}^2 \rightarrow \mathbb{R}^2$ . Then  $\det DF(p) \neq 0$ , and the local topological degree  $\mu(p)$  of the germ  $f : (\mathbb{R}^2, p) \rightarrow (\mathbb{R}^2, f(p))$  equals  $\text{sgn det } DF(p)$ .*

*Proof.* A translation, as well as an orthogonal isomorphism, does not change the local topological degree. So we may assume that  $p = f(p) = \mathbf{0}$ , and choose coordinates satisfying Lemma 7. The assertion of the proposition is a consequence of Lemmas 8 and 9.  $\square$

## 4 Polynomial mappings

This section is devoted to the problem of determining the number of cusps of a polynomial mapping  $f = (f_1, f_2) : \mathbb{R}^2 \rightarrow \mathbb{R}^2$ . Denote by  $\Sigma$  the set of cusp points of  $f$ . Let  $I$  be the ideal in  $\mathbb{R}[x, y]$  generated by  $J, F_1, F_2$ . Let  $I'$  be the one generated by  $J, F_1, F_2, \partial(J, F_1)/\partial(x, y), \partial(J, F_2)/\partial(x, y)$ .

**Propositon 2** *If  $I' = \mathbb{R}[x, y]$  then  $f$  is one-generic and the set of critical points of  $f$  consists of fold points and cusp points. Moreover,  $\Sigma = \{J = 0, F_1 = 0, F_2 = 0\}$  is finite.*

*Proof.* One may observe that  $I'$  is contained in the ideal generated by  $J, \partial J/\partial x, \partial J/\partial y$ . Therefore the last ideal also equals  $\mathbb{R}[x, y]$ , and then its set of zeroes is empty. Hence, if  $J(p) = 0$  then either  $\partial J/\partial x(p) \neq 0$  or  $\partial J/\partial y(p) \neq 0$ . By Lemma 1,  $f$  is one-generic.

Let  $p$  be a critical point, so that  $J(p) = 0$ . Because the set of zeroes of  $I'$  is empty, then either  $F_i(p) \neq 0$  or  $\partial(J, F_i)/\partial(x, y)(p) \neq 0$  for some  $i$ . By Lemma 2, if  $F_i(p) \neq 0$  then  $p$  is a fold point.

If both  $F_1(p) = 0, F_2(p) = 0$  then some  $\partial(J, F_i)/\partial(x, y)(p) \neq 0$ , and then  $p$  is a cusp point by Lemma 3. Thus  $\Sigma$  is an algebraic set

given by three equations  $J = 0$ ,  $F_1 = 0$ ,  $F_2 = 0$ . On the other hand  $\Sigma$  is always discrete, and then finite.  $\square$

From now on we shall assume that  $I' = \mathbb{R}[x, y]$ . By the previous proposition,  $\Sigma$  equals the set of zeroes of  $I$ . Let  $\mathcal{A}$  denote the  $\mathbb{R}$ -algebra  $\mathbb{R}[x, y]/I$ . Assume that  $\dim_{\mathbb{R}} \mathcal{A} < \infty$ .

For  $h \in \mathcal{A}$ , we denote by  $T(h)$  the trace of the  $\mathbb{R}$ -linear endomorphism  $\mathcal{A} \ni a \mapsto h \cdot a \in \mathcal{A}$ . Then  $T : \mathcal{A} \rightarrow \mathbb{R}$  is a linear functional. Take  $\delta \in \mathbb{R}[x, y]$ . Let  $\Theta : \mathcal{A} \rightarrow \mathbb{R}$  be the quadratic form given by  $\Theta(a) = T(\delta \cdot a^2)$ .

According to [1], [9], the signature  $\sigma(\Theta)$  of  $\Theta$  equals

$$\sigma(\Theta) = \sum \operatorname{sgn} \delta(p), \text{ where } p \in \Sigma, \quad (8)$$

and if  $\Theta$  is non-degenerate then  $\delta(p) \neq 0$  for each  $p \in \Sigma$ .

Define quadratic forms  $\Theta_1(a) = T(a^2)$ ,  $\Theta_2(a) = T(\det DF \cdot a^2)$ .

**Theorem 3** *Suppose that  $I' = \mathbb{R}[x, y]$  and  $\dim_{\mathbb{R}} \mathcal{A} < \infty$ . Then*

- (i)  $\#\Sigma = \sigma(\Theta_1)$ ,
- (ii)  $\sum_{p \in \Sigma} \mu(p) = \sigma(\Theta_2)$ ,
- (iii)  $\#\{p \in \Sigma \mid \mu(p) > 0\} = (\sigma(\Theta_1) + \sigma(\Theta_2))/2$ ,  
 $\#\{p \in \Sigma \mid \mu(p) < 0\} = (\sigma(\Theta_1) - \sigma(\Theta_2))/2$ .

*Proof.* By Propositions 1, 2, if  $p$  is a zero of the ideal  $I$  then  $p \in \Sigma$  and  $DF(p) \neq 0$ .

Since  $\Theta_1(a) = T(1 \cdot a^2)$ , by (8) its signature equals  $\sum_{p \in \Sigma} 1 = \#\Sigma$ . By (8) and Theorem 1, the signature of  $\Theta_2$  equals  $\sum_{p \in \Sigma} \operatorname{sgn} DF(p) = \sum_{p \in \Sigma} \mu(p)$ . Assertion (iii) is now obvious.  $\square$

Take  $u \in \mathbb{R}[x, y]$ . Put  $U = \{p \in \mathbb{R}^2 \mid u(p) > 0\}$ . The remainder of this section is devoted to the problem of determining the number of cusps in  $U$ . Define quadratic forms  $\Theta_3(a) = T(u \cdot a^2)$ ,  $\Theta_4(a) = T(u \cdot \det DF \cdot a^2)$ .

**Theorem 4** *Suppose that  $I' = \mathbb{R}[x, y]$  and  $\dim_{\mathbb{R}} \mathcal{A} < \infty$ . If  $\Theta_3$  is non-degenerate then*

- (i)  $\Sigma \cap u^{-1}(0) = \emptyset$ ,
- (ii)  $\#\{p \in \Sigma \cap U \mid \mu(p) = +1\} = (\sigma(\Theta_1) + \sigma(\Theta_2) + \sigma(\Theta_3) + \sigma(\Theta_4))/4$ ,
- (iii)  $\#\{p \in \Sigma \cap U \mid \mu(p) = -1\} = (\sigma(\Theta_1) - \sigma(\Theta_2) + \sigma(\Theta_3) - \sigma(\Theta_4))/4$ .

*Proof.* As in the previous proof,  $\det DF(p) \neq 0$  at each  $p \in \Sigma$ . Since  $\Theta_3$  is non-degenerate, by (8)  $u(p) \neq 0$  at each  $p \in \Sigma$ .

For  $0 \leq i, j \leq 1$  denote

$$a_{ij} = \#\{p \in \Sigma \mid \operatorname{sgn} \det DF(p) = (-1)^i, \operatorname{sgn} u(p) = (-1)^j\}.$$

These numbers satisfy the equations:

$$a_{00} + a_{10} + a_{01} + a_{11} = \sigma(\Theta_1),$$

$$a_{00} - a_{10} + a_{01} - a_{11} = \sigma(\Theta_2),$$

$$a_{00} + a_{10} - a_{01} - a_{11} = \sigma(\Theta_3),$$

$$a_{00} - a_{10} - a_{01} + a_{11} = \sigma(\Theta_4).$$

Now it is easy to verify that  $a_{00} = (\sigma(\Theta_1) + \dots + \sigma(\Theta_4))/4$ ,  $a_{10} = (\sigma(\Theta_1) - \sigma(\Theta_2) + \sigma(\Theta_3) - \sigma(\Theta_4))/4$ .  $\square$

## 5 Examples

**Example.** Let  $f = (f_1, f_2) = (xy^2 - x^2 + y^2 + x - y, x - y) : \mathbb{R}^2 \rightarrow \mathbb{R}^2$ . It is easy to check that

$$J = -2xy - y^2 + 2x - 2y, F_1 = -2xy^2 + 2y^3 - 4x^2 - 2y^2 - 2x + 8y, F_2 = 2x + 4y.$$

Using SINGULAR one may verify that  $I' = \mathbb{R}[x, y]$ . According to Proposition 2 the mapping  $f$  is one-generic having only folds and cusps as critical points. Moreover the set of cusps  $\Sigma$  is finite. The algebra  $\mathcal{A} = \mathbb{R}[x, y]/I$  is two-dimensional, and has a basis  $e_1 = y, e_2 = 1$ . Put  $u = 1 - x^2 - y^2$ . The matrices of quadratic forms  $\Theta_1, \Theta_2, \Theta_3, \Theta_4$  are

$$\begin{bmatrix} +4 & +2 \\ +2 & +2 \end{bmatrix}, \begin{bmatrix} -96 & -48 \\ -48 & -48 \end{bmatrix}, \begin{bmatrix} -76 & -38 \\ -38 & -18 \end{bmatrix}, 24 \cdot \begin{bmatrix} +76 & +38 \\ +38 & +18 \end{bmatrix}.$$

So the quadratic form  $\Theta_3$  is non-degenerate and  $\sigma(\Theta_1) = 2, \sigma(\Theta_2) = -2, \sigma(\Theta_3) = \sigma(\Theta_4) = 0$ . According to Theorems 3 and 4 the mapping  $f$  has two cusps, both of negative sign, one of them lies in  $U = \{u > 0\}$ .

**Example.** Put  $f = (x^2y^3 - x^2y + xy^2 - x, x^3y - x^2y + y^3 + x - y) : \mathbb{R}^2 \rightarrow \mathbb{R}^2$  and  $u = x^2 + y^2 - 1$ . Using the same method as before with the help of SINGULAR, one can check that  $f$  is one-generic and the dimension of  $\mathcal{A} = \mathbb{R}[x, y]/I$  equals 38. Moreover  $f$  has eight cusps, six of them are positive and two are negative. All negative and three positive ones lie in  $U = \{u > 0\}$ .

**Example.** Let  $f = (10x^2y^3 + 4x^2y^2 - 2xy^3 - 6x^2y + 8xy^2 - 5xy, 5x^4y + 10x^4 - y^4 + 5x^2 - 3xy - 9y)$  and  $u = x - 1$ . In this case  $f$  is one-generic and the dimension of  $\mathcal{A} = \mathbb{R}[x, y]/I$  equals 56. Moreover  $f$  has six cusps, five of them are positive and one is negative. The negative one lies in  $U = \{u > 0\}$ .

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